

PROGRAM AREA 2

Alaska Social and Economic Development Strategies for Native Americans

In fiscal year 1984, ANA implemented a special Alaska Social and Economic Development initiative to support activities at the village level. This special effort was designed to provide small amounts of project seed money for village-specific projects to improve and strengthen the capacity of village governments, an integral part of social and economic self-sufficiency. ANA continues to implement this special initiative with a renewed awareness that economic, social and governance development is interrelated. ANA believes both the non-profit and for-profit corporations in Alaska can play an important supportive role in assisting individual villages in the development and implementation of their own locally determined strategies, which capitalize on opportunities afforded to Alaska Natives under the Alaska Native Claims Settlement Act (ANCSA).

The Program Areas of Interest are projects that ANA considers supportive to Native American communities. Although eligibility for funding is not restricted to the projects of the type listed under this program announcement, these Areas of Interest are ones which ANA sees as particularly beneficial to the development of healthy Native American communities.

Economic Development: Involves the promotion of the physical, commercial, technological, industrial, and/or agricultural components necessary for a sustainable local

community. Applicants are encouraged to develop sustainable projects to support sustainable, stable, and diversified private sector local economies.

Program Areas of Interest include:

- Projects to strengthen an organization's capacity to deliver business technical assistance, workshops, financial literacy programs, and that create, expand, and retain public and private sector community-based businesses.
- Projects to increase cooperative enterprise development activities, and technical capacity of youth to establish and operate cooperative businesses with the goal of teaching financial, management and long-term employment skills.
- Projects to plan and coordinate emergency response services within the community and with State and local governments to protect against Acts of Nature and other catastrophic events such as fire, floods, and environmental catastrophes.
- Projects to implement initiatives based on a feasibility study that assessed the economic potential of energy resources in their community, including renewable energy sources such as: Bio-energy, Geothermal, Hydrogen, Hydropower, Ocean, Solar, Wind, or other methods appropriate to the tribe and geographical location.
- Projects to develop community transportation activities that support the needs of the elderly, the disabled, and the local workforce.
- Projects to develop organizational and management capacity building activities that enhance community-based program delivery systems and services.
- Projects to develop and implement community-based activities that increase International Tourism and trade activities for Native American products, services, and communities. Business sectors of interest include: the export of Native American

packaged foods; arts and crafts; literature and music; manufactured products; agricultural and organic products; value-added product assembly or processing that includes agriculture and aquaculture.

- Projects to develop and enhance subsistence activities that retain, or re-establish Native traditional foods and or by-products of natural resources for local and commercial markets. Develop and/or strengthen the local economy through enhanced commercial trade in areas such as agriculture, aquaculture, lumber, and traditional arts and crafts.

Social Development: The investment in human and social capital for advancing people's well-being. Applicants are encouraged to develop and implement culturally appropriate programs to enhance tribal, community, and village activities. Social development programs under this area support families, elders, parents, positive youth development, healthy marriage, individuals with disabilities, and personal commitment.

Program Areas of Interest include:

- **Healthy Relationships and Strengthening Families Initiative:** The goal is to promote healthy family environments and strengthen co-parenting teamwork, problem-solving, and conflict resolution. To respond to this initiative, applicants should consider comprehensive projects that are culturally and socially appropriate to teach couples relationship-building skills, such as negotiation-based interpersonal communications, collaborative problem solving, and preservation of love, commitment, and friendship. Applicants are encouraged to be creative in their efforts to integrate elders into these projects to support traditional values and methods.

Initiatives could address problematic periods in the family life cycle such as: pregnancy, postpartum care, first-time parenthood, parenting adolescents, and goal setting for independent young adults.

- Projects to strengthen the long-term commitment of married couples. Projects should consider the enhancement of relationship skills through premarital counseling, mentoring activities, or role model activities.
- Projects to support young families in order to reduce the challenges and stress of child rearing, and the risks associated with child/infant abuse and neglect, strengthening the bonds between parents and children, and particularly between fathers and children and the fathers' role in healthy families.
- In partnership with community and or faith-based organizations, develop and implement comprehensive culturally and socially appropriate projects to help youth practice personal responsibility; reach a balance in their lives by learning how to set and meet short and long-term goals; and to practice healthy lifestyles with the goal of decreasing gang activity, school drop out rates and juvenile delinquency.
- Projects to recruit, train, and certify new Native American foster parents or promote appropriate extended family placements or to assist abused, neglected, and abandoned Native American children, youth, and their families.
- Projects to develop, coordinate, and implement training for Native Americans with disabilities in order to join the workforce, obtain information and technical assistance to apply for disability benefits, gain access to workplace facilities, and receive reasonable accommodations necessary to perform job functions.

Governance: Involves assistance to Tribal and Alaska native Village government leaders to increase their ability to execute local control and decision-making over their resources.

ANA encourages applications for the development of laws and policies that support community-based social, economic and governance activities. Governance projects under this area may be used for leadership and management training or to assist eligible applicants in the development of laws, regulations, codes, policies, and practices that support and promote community-based activities. Program Areas of Interest include:

- Projects to enact laws that support and enforce business and investment transactions, contracts, and property rights. For example, develop and implement Uniform Commercial Codes (business codes) and Tax Codes.
- Projects to enact laws, ordinances, and policies, to develop, expand, and/or enhance utility and communications infrastructures.
- Projects to enrich and strengthen the management and leadership skills of senior Tribal government personnel, and senior management personnel of tribally owned companies.
- Projects to establish and implement technology management information systems to assist with the effective and efficient administration of tribal government programs.
- Projects to develop or amend tribal constitutions, government procedures and functions, by-laws or codes, and council or executive branch duties in order to improve the regulatory, judicial and/or administrative infrastructure of tribal and village governments.

II. Award Information

Applications from Alaska Native entities may submit under either SEDS or Alaska SEDS but not both program areas. The SF 424 must clearly indicate the correct program area.

Funding Instrument Type: Grant

Anticipated Total Program Area Funding: \$2,000,000

Anticipated Number of Awards: 10-20

Average Projected Award Amount:

\$25,000 - \$125,000 for Individual Village Projects

\$25,000 - \$175,000 for Regional Non-profit and Village Consortia

Length of Project Period: 12, 17, 24, or 36 months

Ceiling on Amount of Individual Awards:

\$175,000 for Regional Non-profit and Village Consortia

\$125, 000 for Individual Village Projects

An application that exceeds the upper value of the dollar range specified will be considered "non-responsive" and be returned to the applicant without further review.

Floor Amount: \$25,000

III. Eligibility Information

1. Eligible Applicants

- Federally Recognized Indian tribes in Alaska;
- Alaska Native villages, as defined in the Alaska Native Claims Settlement Act (ANSCA) and/or non-profit village consortia;
- Incorporated non-profit Alaska Native multi-purpose community-based organizations
- Non-profit Alaska Native Regional Corporations/Associations in Alaska with village specific projects; and
- Non-profit Native organizations in Alaska with village specific projects.

Additional Information on Eligibility

Please refer to section I “Funding Opportunity Description” to review general ANA Administrative Policies for any applicable statutory policies pertaining to application eligibility.

In support of the Presidential Executive Orders on Asian American and Pacific Islanders, Community-based Alternatives for Individuals with Disabilities, and Faith-based and Community Organizations, ANA encourages greater participation from Hawaiian and Pacific Islander communities, encourages Native communities to address the needs of people with disabilities, and invites eligible faith-based and community organizations to apply.

Proof of Non-Profit Status: Any non-profit organization submitting an application must submit proof of its non-profit status in its application at the time of submission. The non-profit agency can accomplish this by providing:

- a reference to the applicant organization's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in the IRS Code; or
- a copy of the currently valid IRS tax exemption certificate; or
- a statement from a State taxing body, State Attorney General, or other appropriate State official certifying that the applicant organization has a non-profit status and none of the net earnings accrue to any private shareholders or individuals; or
- a certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status; or
- any of the items in the subparagraphs immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization is a local non-profit affiliate.

Resolution: Applicants are required to include a current signed Resolution (a formal decision voted on by the official governing body) in support of the project for the entire project period. The Resolution must indicate who is authorized to sign documents and negotiate on behalf of the Tribe or organization. The Resolution should indicate that the community was involved in the project planning process, and indicate the specific dollar amount of any non-federal matching funds (if applicable).

2. Cost Sharing or Matching

Grantees must provide at least 20 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF share and the non-federal share. The required match can be computed by dividing total Federal funds by 80 percent for total project costs then subtracting the Federal portion. The remainder is the required match. Therefore, a project requesting \$100,000 in Federal funds (per budget period) must provide a match of at least \$ 25,000 ($\$100,000 / 80\% = \$125,000 - \$100,000 = \$25,000$) which is 20% of the total approved cost. Grantees will be held accountable for commitments of the non-Federal resources even if over the amount of the required match. Failure to provide the non-federal share match will result in the disallowance of Federal match. A request for a waiver of the non-Federal share requirement may be submitted in accordance with 45 CFR 1336.50(b) (3) of the Native American Program regulations.

3. Other (if applicable)

DUNS Number: On June 27, 2003, the Office of Management and Budget published in the Federal Register a new Federal policy applicable to all Federal grant applicants after giving notice in the Federal Register on June 27, 2002 and opportunity for public comment. The policy requires all Federal grant applicants to provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements on or after October 1, 2003. The DUNS number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal (www.Grants.Gov). A DUNS number will be required for every application for a new award or renewal/continuation of an award, including applications or plans under mandatory grant programs, submitted on or after

October 1, 2003. A DUNS number may be acquired at no cost by calling the dedicated toll-free DUNS number request line on 1-866-705-5711 or you may request a number on-line at <http://www.dnb.com>

Applications exceeding the \$175,000 for Regional Non-profit and Village Consortia or \$125,000 for Individual Village Projects thresholds will be returned without review.

Applications that fail to include the required amount of cost-sharing will be considered non-responsive and will not be eligible for funding under this announcement.

IV. Application and Submission Information

1. Address To Request Application Package

The ANA regional Training and Technical Assistance (T/TA) provider at:

Native American Management Services, Inc.

11723 Old Glenn Highway, Suite 201

Eagle River, Alaska 99577

Toll Free 877-770-6230

(907) 694.5711

Fax (907) 694.5775

P.J. Bell, Project Manager

E-Mail: pjbell@gci.net

www.anaalaska.org

2. Content and Form of Submission

Please refer to section I “Funding Opportunity Description” to review general ANA Administrative Policies for any applicable statutory policies pertaining to application content and form.

Application Submission: An original and two copies of the complete application are required. The original copy must include all required forms, certifications, assurances, and appendices, be signed by an authorized representative, have original signatures, and be submitted unbound. The two additional copies of the complete application must include all required forms, certifications, assurances, and appendices and must also be submitted unbound. A complete application for assistance under this Program Announcement consists of Three Parts. Part One is the SF 424, Required Government Forms, and other required documentation. Part Two of the application is the project substance of the application. This section of the application may not exceed 45 pages. Part Three of the application is the Appendix. This section of the application may not exceed 20 pages (the exception to this 20 page limit applies only to projects that require, if relevant to the project, a Business Plan or any Third-Party Agreements).

Electronic Submission: While ACF does have the capability to receive program announcement applications electronically through Grants.gov, electronic submission of applications will not be available for this particular announcement. There are required

application form(s) specific to ANA that have not yet received clearance from Grants.gov. While electronic submission of applications may be available in the next fiscal year for this program, no electronic submission of applications will be accepted for this announcement this year as they would be missing those required ANA forms and be considered incomplete.

Organization and Preparation of Application: Due to the intensity and pace of the application review and evaluation process, ANA strongly recommends applicants organize, label, and insert required information in accordance with Part One, Part Two and Part Three as presented in the charts below. The application should begin with the information requested in Part One of the chart in the prescribed order. Utilizing this format will insure all information submitted to support an applicant's request for funding is thoroughly reviewed. Submitting information in this format will assist the panel reviewer in locating and evaluating the information. Deviation from this suggested format may reduce the applicant's ability to receive maximum points, which are directly related to ANA's funding review decisions.

ANA Application Format: This format applies to all applicants submitting applications for funding. ANA will now require all applications to be labeled in compliance with the format provided in the program announcement. All pages submitted (including Government Forms, certifications and assurances) should be numbered consecutively. The paper size shall be 8 ½ x 11 inches, line spacing shall be a space and a half (1.5 line spacing), printed only on one side, and have a half- inch margin on all sides of the paper.

The font size should be no smaller than 12-point and the font type shall be Times New Roman. These requirements do not apply to the project Abstract Form, Letters of Commitment, the Table of Contents, and the Objective Work Plan.

Forms and Assurances:

The project description should include all the information requirements described in the specific evaluation criteria outlined in the program announcement under Part V. In addition to the project description, the applicant needs to complete all the standard forms required for making applications for awards under this announcement. Applicants requesting financial assistance for non-construction projects must file the Standard Form 424B, "Assurances: Non-Construction Programs." Applicants must sign and return the Standard Form 424B with their applications. Applicants must provide a certification regarding lobbying when applying for an award in excess of \$100,000. Applicants must sign and return the certification with their applications. Applicants must disclose lobbying activities on the Standard Form LLL when applying for an award in excess of \$100,000. Applicants who have used non-Federal funds for lobbying activities in connection with receiving assistance under this announcement shall complete a disclosure form, if applicable, with their applications. The forms (Forms 424, 424A-B; and Certifications may be found at: www.acf.hhs.gov/programs/ofs/forms.htm. Fill out Standard Forms 424 and 424A and the associated certifications and assurances based on the instructions on the forms.

Private, non-profit organizations are encouraged to submit with their applications the survey located under “Grant Related Documents and Forms” titled “Survey for Private, Non-Profit Grant Applicants.” The forms are located on the web at www.acf.hhs.gov/programs/ofs/forms.htm (OMB No. 1890-0014 Exp.1/31/06).

3. Submission Date and Time

The closing time and date for receipt of applications is 4:30 p.m. (Eastern Standard Time) on April 23, 2004. Mailed or hand-delivered applications received after 4:30 p.m. on the closing date will be classified as late.

Deadline: Mailed applications shall be considered as meeting an announced deadline if received on or before the deadline time and date at the US Department of Health and Human Services, Administration for Children and Families, Office of Grants Management, Division of Discretionary Grants, 370 L'Enfant Promenade, SW., Washington, DC, 20447. This address must appear on the envelope/package containing the application with the note “Attention: Lois B. Hodge”. Applicants are cautioned that express/overnight mail services do not always deliver as agreed.

Hand Delivery: The Application shall be considered as meeting an announced deadline if received on or before the deadline date, between the hours of 8 a.m. to 4:30 p.m., Monday through Friday (excluding Federal holidays). Applications may be delivered to U.S. Department of Health and Human Services, Administration for Children and

Families, Office of Grants Management, Division of Discretionary Grants, ACF Mail Room, Second Floor Loading Dock, Aerospace Center, 901 D Street, SW., Washington, DC, 20024. This address must appear on the envelope/package containing the application with the note “Attention: Lois B. Hodge”. Applicants are cautioned that express/overnight mail services do not always deliver as agreed.

Late Applications: Applications that do not meet the Deadline criteria above will be considered late applications. ACF will notify each late applicant that its application will not be considered for review in the current competition.

Extension of Deadline: ACF may extend application deadlines when circumstances such as acts of God (floods, hurricanes, etc.) occur, when there are widespread disruptions of mail service. Determinations to extend or waive deadline requirements rest with the Chief Grants Management Officer.

Required Forms:

All requirements for submission are due on or before the deadline date.

Part One – Federal Forms and Other Required Documents

Part One must include the following:	Content and Location of Part One Required Forms, Certifications, and Documents
SF 424, SF 424 A, and SF 424B	http://www.acf.hhs.gov/programs/ofs/forms.htm
Table of Contents	Applicant must include a table of contents that accurately identifies the page number and where the information can be located. Table of

	Contents does not count against application page limit.
Project Abstract	ANA Form: OMB Clearance Number 0980-0204 http://www.acf.hhs.gov/programs/ana
Proof of Non-Profit Status	As described in this announcement under “Other Eligibility Information”
Resolution	Information for submission can be found in the Program Announcement Section “Other Eligibility Information.”
Documentation that the Board of Directors is majority Native American, if applicant is other than a tribe or Alaska Native Village government.	As described in this announcement under “ANA Administrative Policies” section.
Audit Letter	A Certified Public Accountant’s “Independent Auditors’ Report on Financial Statement.” This is usually only a two to three page document. (This requirement applies only to applicants with annual expenditures of \$300,000 or more of federal funds). Applicant must also include that portion of the audit document that identifies all other federal sources of funding,
Indirect Cost Agreement	Organizations and Tribes must submit a current indirect cost agreement (if claiming in-direct costs) that aligns with the approved ANA project period. The In-direct Cost Agreement must identify the individual components and percentages that make up the indirect cost

	rate.
Non-Federal Share of Waiver Request, per CFR 1336.50(b)	A request for a waiver of the non-Federal share requirement may be submitted in accordance with 45 CFR 1336.50(b) (3) of the Native American Program regulations. (if applicable)
Certification regarding Lobbying	May be found at www.acf.hhs.gov/programs/ofs/forms.htm
Certification regarding Maintenance of Effort	May be found at www.acf.hhs.gov/programs/ofs/forms.htm
Environmental Tobacco Smoke Certification	May be found at http://www.acf.hhs.gov/programs/ofs/forms.htm

Part Two – Application Review Criteria

Part Two – Proposed Project	Application Review Criteria This section may not exceed 45 pages
Criteria One (5 pts)	Introduction and Project Summary/Project Abstract
Criteria Two (20 pts)	Objectives and Need for Assistance
Criteria Three (25 pts)	Approach Include an Objective Work Plan (OWP) form for each year of project period. 17-month project periods need only to submit one OWP.

Criteria Four (20 pts)	Organizational Profile
Criteria Five (20 pts)	Results or Benefits Expected
Criteria Six (10 pts)	Budget and Budget Justification Summary/ Cost Effectiveness

Part Three – Appendix

Part Three – Support Documentation	Appendix
	<p>This section may not exceed 20 pages</p> <p>Part Three includes only supplemental information or required support documentation that addresses the applicant’s capacity to carry out and fulfill the proposed project. These items include: letters of agreement with cooperating entities, in-kind commitment and support letters, business plans, and a summary of the Third Party Agreements. Do not include books, videotapes, studies or published reports and articles, as they will not be made available to the reviewers, or be returned to the applicant.</p>

Additional Forms:

Private-non-profit organizations may submit with their applications the additional survey located under “Grant Related Documents and Forms” titled “Survey for Private, Non-Profit Grant Applicants”.

What to submit	Required Content	Required Form or Format	When to Submit
Survey for Private, Non-Profit Grant Applicants	Per required form	May be found on http://www.acf.hhs.gov/programs/ofs/form.htm	By application due date.

4. Intergovernmental Review

Applications are not subject to Executive Order 12372

5. Funding Restrictions

ANA does not fund:

- Activities in support of litigation against the United States Government that are unallowable under OMB Circulars A-87 and A-122.

- Duplicative projects or does not allow any one community to receive a disproportionate share of the funds available for award. When making decisions on awards of grants the Agency will consider whether the project is essentially identical or similar, in whole or significant part, to projects in the same community previously funded or being funded under the same competition. The Agency will also consider whether the grantee is already receiving funding for a SEDS, Language, or

Environmental project from ANA. The Agency will also take into account in making funding decisions whether a proposed project would require funding on indefinite or recurring basis. This determination will be made after it is determined whether the application meets the requirements for eligibility as set forth in 45 C.F.R. 1336, Subpart C, but before funding decisions are complete.

- Projects in which a grantee would provide training and/or technical assistance (T/TA) to other tribes or Native American organizations that are otherwise eligible to apply for ANA funding. However, ANA will fund T/TA requested by a grantee for its own use or for its members' use (as in the case of a consortium), when the T/TA is necessary to carry out project objectives.
- The purchase of real property or construction because those activities are not authorized by the Native American Programs Act of 1974, as amended.
- Objectives or activities to support core administration activities of an organization. However, functions and activities that are clearly project related are eligible for grant funding. Under Alaska SEDS projects, ANA will consider funding core administrative capacity building projects at the village government level if the village does not have governing systems in place.
- Costs associated with fund raising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital

or obtain contributions are unallowable under an ANA grant award.

- Major renovation or alteration because those activities are not authorized under the Native American Programs Act of 1974, as amended.
- Projects originated and designed by consultants who provide a major role for themselves and are not members of the applicant organization, Tribe, or village.
- Project activities that do not further the three interrelated ANA goals of economic development or social development or governance, or meet the purpose of this program announcement.

6. Other Submission Requirements

Submission by Mail: An applicant must provide an original and two copies of the application with all required forms and signed by an authorized representative. The application must be received at the address below by 4:30 PM Eastern Standard Time (EST) on or before the closing date. Applicants are cautioned that express/overnight mail services do not always deliver as agreed. Applications should be mailed to:

US Department of Health and Human Services

Administration for Children and Families

Office of Grants Management

Division of Discretionary Grants

Attention: Lois B. Hodge

370 L'Enfant Promenade, SW.

Washington, DC, 20447

For Hand Delivery: The application shall be considered as meeting an announced deadline if received on or before the deadline date, between the hours of 8 a.m. to 4:30 p.m., Monday through Friday (excluding Federal holidays). Applications may be delivered to U.S. Department of Health and Human Services, Administration for Children and Families, Office of Grants Management, Division of Discretionary Grants, ACF Mail Room, Second Floor Loading Dock, Aerospace Center, 901 D Street, SW., Washington, DC, 20024. This address must appear on the envelope/package containing the application with the note “Attention: Lois B. Hodge.” Applicants are cautioned that express/overnight mail services do not always deliver as agreed.

V. Application Review Information

1. Criteria

Instructions: ACF Uniform Project Description

The UPD text should be used as general guidance in the development of projects.

However, the specific ANA application submission format to be used in response to this announcement is located in section IV “Application and Submission Information”.

Purpose: The Project Description is a major area by which an application is evaluated and ranked in competition with other applications for financial assistance. The Project

Description should be concise and complete and should address the activity for which Federal funds are being requested. Supporting documents should be included if they present information clearly and succinctly. In preparing your Project Description, all information requested through each specific evaluation criteria should be provided. ANA uses this and other information to make funding decisions. It is important, therefore, that this information be included in the application.

General Instructions: ANA is particularly interested in specific factual information and statements of measurable goals and performance indicators in quantitative terms. Project descriptions are evaluated on a basis of substance, not length. Extensive exhibits are not required. Cross-referencing should be used rather than repetition. Supporting information that does not directly pertain to an integral part of the grant-funded activity should be placed in the appendix. The application narrative should be in a 12-pitch font. A table of contents and an executive summary should be included. Each page should be numbered sequentially, including attachments or appendices. Please do not include books, videotapes or published reports because they are not easily reproduced, are inaccessible to the reviewers, and will not be returned to the applicant.

Introduction: Applicants are required to submit a full Project Description and shall prepare this portion of the grant application in accordance with the following instructions and the specified evaluation criteria. The introduction provides a broad overview of the Project, and the information provided under each evaluation criteria expands and clarifies

the project program-specific activities and information that reviewers will need to assess the proposed project.

Project Summary: Provide a summary of the Project Description (a page or less) with reference to the funding request.

Objectives and Need for Assistance: Clearly identify the physical, economic, social, financial, institutional, and/or other problem(s) requiring a solution. The need for assistance must be demonstrated and the principal and subordinate objectives of the project must be clearly stated; supporting documentation, such as letters of support and testimonials from concerned interests other than the applicant, may be included. Any relevant data based on planning studies should be included or referred to in the endnotes/footnotes. Incorporate demographic data and participant/beneficiary information, as needed. In developing the Project Description, the applicant should provide information on the total range of projects currently being conducted and supported (or to be initiated) to ensure they are within the scope of the program announcement.

Results or Benefits Expected: Identify the results and benefits to be derived by the community and its members. For example, applicants are encouraged to describe the qualitative and quantitative data collected, how this data will measure progress towards the stated results or benefits, and how performance indicators under economic and social development and governance projects can be monitored, evaluated and verified.

Approach: Outline a plan of action that describes the scope and detail of how the proposed work will be accomplished. Account for all functions or activities identified in the application. Cite factors, which might accelerate or decelerate the work and state your reason for taking the proposed approach rather than others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, extraordinary social and community involvement or ease of project replication by other tribes and Native organizations. List organizations, cooperating entities, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution. Provide quantitative monthly or quarterly projections of the accomplishments to be achieved for each function or activity in such terms as the number of people served and the number of activities accomplished. Examples of these activities would be the number of businesses started or expanded, the number of jobs created or retained, the number of people trained, the number of youth, couples or families assisted or the number elders participating in the activity during that reporting period. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the dates and schedule of accomplishments. List organizations, cooperating entities, consultants, or other key individuals who will work on the project, as well as a short description of the nature of their effort or contribution.

Organizational Profiles: Provide information on the applicant organization(s) and cooperating partners with organizational charts, financial statements, audit reports or statements from CPA/Licensed Public Accountants, Employer Identification Numbers,

names of bond carriers, contact persons and telephone numbers, child care licenses and other documentation of professional accreditation, information on compliance with Federal/State/local government standards, documentation of experience in the program area, and other pertinent information. Any non-profit organization submitting an application must submit proof of its non-profit status in its application at the time of submission.

Third-Party Agreements: Include written agreements between grantees and sub grantees or subcontractors or other cooperating entities. These agreements must detail scope of work to be performed, work schedules, remuneration, and other terms and conditions that structure or define the relationship.

Budget and Budget Justification: Provide line item detail and detailed calculations for each budget object class identified on the Budget Information form. Detailed calculations must include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated. The detailed budget must also include a breakout by the funding sources identified in Block 15 of the SF-424. Provide a narrative budget justification that describes how the categorical costs are derived. Discuss the necessity, reasonableness, and allow-ability of the proposed costs.

Additional Information: The following are requests for additional information that need to be included in the application: Any non-profit organization submitting an application must submit proof of its non-profit status in the application at the time of submission. The

non-profit organization shall submit one of the following: (i) a reference to the applicant organization's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in the IRS Code; or (ii) a copy of the currently valid IRS tax exemption certificate; or (iii) a statement from a State taxing body, State Attorney General, or other appropriate State official certifying that the applicant organization has a non-profit status and none of the net earnings accrue to any private shareholders or individuals; or (iv) a certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status; or (v) any of the items in the subparagraphs immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization is a local non-profit affiliate. Organizations incorporating in American Samoa are cautioned that the Samoan government relies exclusively upon IRS determinations of non-profit status; therefore, articles of incorporation approved by the Samoan government do not establish non-profit status for the purpose of ANA program eligibility.

General: The following guidelines are for preparing the budget and budget justification. Both Federal and non-Federal resources shall be detailed and justified in the budget and narrative justification. For purposes of preparing the budget and budget justification, "Federal resources" refers only to the ACF grant for which you are applying. Non-Federal resources are all other Federal and non-Federal resources. It is suggested that budget amounts and computations be presented in a columnar format: first column, object class categories; second column, Federal budget; next column(s), non-Federal budget(s); and last column, total budget. The budget justification should be a narrative.

- **Personnel:** The description of the costs of employee salaries and wages. Identify the project director or principal investigator, if known. For each staff person, provide the title, time commitment to the project (in months), or time commitment to the project (as a percentage or full-time equivalent), annual salary, grant salary, wage rates, etc. Do not include the costs of consultants or personnel costs of delegate agencies or of specific project(s) or businesses to be financed by the applicant.
- **Fringe Benefits:** Costs of employee fringe benefits unless treated as part of an approved indirect cost rate. Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement insurance, taxes, etc.
- **Travel:** Costs of project-related travel by employees of the applicant organization (does not include costs of consultant travel). Justification: For each trip, show the total number of traveler(s), travel destination, duration of trip, per diem, mileage allowances, if privately owned vehicles will be used, and other transportation costs and subsistence allowances. Travel costs for key staff to attend ACF-sponsored workshops should be detailed in the budget.
- **Equipment:** Equipment means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of (a) the capitalization level established by the organization for the financial statement purposes, or (b) \$5,000. (Note: Acquisition cost means the net invoice unit price of an item of equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in-

transit insurance, freight, and installation shall be included in or excluded from acquisition cost in accordance with the organization's regular written accounting practices.). Justification: For each type of equipment requested, provide a description of the equipment, the cost per unit, the number of units, the total cost, and a plan for use on the project, as well as use or disposal of the equipment after the project ends. An applicant organization that uses its own definition for equipment should provide a copy of its policy or section of its policy, which includes the equipment definition.

- **Supplies:** Costs of all tangible personal property other than that included under the Equipment category. Justification: Specify general categories of supplies and their costs. Show computations and provide other information that supports the amount requested.
- **Contractual:** Costs of all contracts for services and goods except for those, which belong under other categories such as equipment, supplies, construction, etc. Third-party evaluation contracts (if applicable) and contracts with secondary recipient organizations, including delegate agencies and specific project(s) or businesses to be financed by the applicant, should be included under this category. Justification: All procurement transactions shall be conducted in a manner to provide, to the maximum extent practical, open and free competition. Recipients and sub-recipients, other than States that are required to use Part 92 procedures, must justify any anticipated procurement action that is expected to be awarded without competition (sole source) and exceed the simplified acquisition threshold fixed at 41 USC 403(11) (currently set at \$100,000.). Recipients may be required to make available to ANA pre-award review and procurement documents, such as request for proposals or invitations for

bids, independent cost estimates, etc. Note: Whenever the applicant intends to delegate part of the project to another agency, the applicant must provide a detailed budget and budget narrative for each delegate agency, by agency title, along with the required supporting information referred to in these instructions.

- Other: Enter the total of all other costs. Such costs, where applicable and appropriate, may include but are not limited to insurance, food, medical and dental costs (noncontractual), professional services costs, space and equipment rentals, printing and publication, computer use, training costs, such as tuition and stipends, staff development costs, and administrative costs. Justification: Provide computations, a narrative description, and a justification for each cost under this category.
- Indirect Charges: Total amount of indirect costs. This category should be used only when the applicant currently has an indirect cost rate approved by the Department of the Interior, Department of Labor, the Department of Health and Human Services (HHS), or other Federal agency. Justification: An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. If the applicant organization is in the process of initially developing or renegotiating a rate, it should immediately upon notification that an award will be made, develop a tentative indirect cost rate proposal based on its most recently completed fiscal year in accordance with the principles set forth in the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. It should be noted that when an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs to the grant. Also, if

the applicant is requesting a rate which is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

- **Program Income:** The estimated amount of income, if any, expected to be generated from this project. **Justification:** Describe the nature, source, and anticipated use of program income in the budget or refer to the pages in the application, which contain this information.
- **Non-Federal Resources:** Amounts of non-Federal resources that will be used to support the project as identified in Block 15 of the SF-424. **Justification:** The firm commitment of these resources must be documented and submitted with the application in order to be given credit in the review process. A detailed budget must be prepared for each budget period.
- **Total Direct Charges, Total Indirect Charges, and Total Project Costs**

Evaluation Criteria: ANA

Approach (25 Points) The Applicant's narrative should be clear and concise. The applicant should provide a detailed project description with goals and objectives. It should discuss the project strategy and implementation plan over the project period. Applicant should also describe the project strategy using the Objective Work Plan (OWP). In the OWP, the applicant should identify the project objectives, time frames, proposed activities, outcomes, and evaluation activity, as well as the individuals responsible for completing the objectives and performing the activities. Applicant should summarize how the project description, objective(s), approach, strategy and

implementation plan are inter-related. The applicant should also include the names and activities of any organizations, consultants, or other key individuals who will contribute to the project. The Applicant should discuss “Leveraged Resources” (see Definitions) used to strengthen and broaden the impact of the proposed project. The Applicant should discuss how commitments and contributions from other entities will enhance the project. Applicant should provide “Letters of Commitment” that identify the time, dollar amount, and activity to be accomplished through partnerships. Applicant should discuss the relationship of non-ANA funded activities to those objectives and activities that will be funded with ANA grant funds. (Letters of Commitment are included in the Appendix).

Objectives and Need for Assistance (20 Points) Applicant should show a clear relationship between the proposed project, the social and economic development strategy, and the community’s long-range goals. The need for assistance should clearly identify the physical, economic, social, financial, governmental, and institutional challenges and problem(s) requiring a solution that supports the funding request. Describe the community (see Definitions) to be affected by the project and the community involvement in the project. The Applicant should describe the community’s long-range goals, the community planning process, and how the project supports these community goals. The applicant should describe how the proposed goals, objectives, and activities reflect either the economic and social development or governance needs of the local community. Discuss the geographic location of the project and where the project and grant will be administered.

Applications from National American Indian and Native American organizations must clearly demonstrate a need for the project, explain how the project originated, and identify intended beneficiaries, describe and relate the actual project benefits to the community and organization, and describe a community-based program delivery strategy. National American Indian and Native organizations should describe their membership and define how the organization operates, and demonstrates native community and/or Tribal government support for the project. The type of community served will determine the type of documentation necessary.

Applicants should discuss and present objectives and goals to be achieved and evaluated at the end of each budget period. Proposed project objectives support the identified need and should be measurable.

Organizational Profile (20 Points) Provide information on the management structure of the Applicant and the organizational relationships with its cooperating partners. Include organizational charts that indicate how the proposed project will fit into the existing structure. Demonstrate experience in the program area. Describe the Applicant's capabilities such as the administrative structure, its ability to administer a project of the proposed scope and its capacity to fulfill the implementation plan. If relevant to the project, applicants must provide a Business Plan or any Third-Party Agreements (not counted in Appendix page limit). Applicants are required to affirm that they will credit the Administration for Native Americans, and reference the ANA funded project on any audio, video, and/or printed materials developed in whole or in part with ANA funds.

Applicants should list all current sources of federal funding, the agency, purpose, amount, and provide the most recent certified signed audit letter for the organization to be included in Part One of the application. If the applicant has audit exceptions, these issues should be addressed. Applicant should provide “staffing and position data” to include a proposed staffing pattern for the project where the Applicant highlights the new project and staff. Positions discussed in this section must match the positions identified in the Objective Work Plan and in the proposed budget. Note: Applicants are strongly encouraged to give preference to qualified Native Americans in hiring project staff and in contracting services under an approved ANA grant. Applicant should provide a paragraph of the duties and skills required for the proposed staff and a paragraph on qualifications and experience of current staff. Full position descriptions are required to be submitted and included in the Appendix. Applicant should explain and discuss how the current and future staff will manage the proposed project. Brief biographies of key positions or individuals should be included.

Results or Benefits Expected (20 Points) In this section the applicant should discuss the “Performance Indicators” (see Definitions) and the benefits expected as a result of this project. Performance indicators identify qualitative and quantitative data directly associated with the project. Each applicant should submit five indicators to support the applicant’s project. Three performance indicators may be selected from the list of six below. Each grantee is required to develop two additional indicators specific to the project that directly support the goals and objectives. For each performance indicator selected the applicant should discuss the relevance of the data, the method for collecting

the data, and the evaluation process. Performance indicators will be reported to ANA in the grantee's quarterly report. Three of the five Performance indicators required, should be selected from the following list: (1) the number of jobs created; (2) the number of people to successfully complete a workshop/training; (3) the number of community-based small businesses established or expanded; (4) identification of tribal or village government business, industry, energy or financial codes or ordinances that were adopted or enacted; (5) the number of children, youth, families or elders assisted or participating; and (6) the number of community partnerships formed. In this section the applicant will indicate how it will measure the success of the separate project components and the project as a whole. Applicant should describe how the success of the project would be evaluated and verified by an independent program monitoring and evaluation team. Applicant should provide a narrative on the specific performance indicators that can be analyzed, measured, monitored, and evaluated. For example, if requesting funds for a conference, workshop, or an educational activity, the applicant should discuss the value and long-term impact to the participants and the community and explain how the information relates to the project goals, objectives and outcomes. The applicant should discuss how the project will be completed, or self-sustaining, or supported by other than ANA fund at the end of the project period. Applicants should discuss and present objectives and goals to be achieved and evaluated at the end of each budget period. Project outcomes support the identified need and should be measurable.

Budget and Budget Justification/ Cost Effectiveness (10 Points)

Budget and Budget Justification: An applicant must submit an itemized budget detailing the applicant's Federal and non-Federal share and citing source(s) of funding. The applicant should provide a detailed line item Federal and Non-federal share budget by year for each year of project funds requested. A budget narrative describing the line item budget should be attached for each year of project funds requested. The budget should include a line item justification for each Object Class Category listed under Section B – “Budget Categories” of the “Budget Information-Non Construction Programs on the SF 424A form. The budget should include the necessary details to facilitate the determination of allowable costs and the relevance of these costs to the proposed project.

Applicant should briefly explain its existing operational budget and any additional anticipated funding (including unique financial circumstances, with potential impact on the project such as upcoming monetary or land settlements), and how the proposed project fits in the overall budget. Applicant should explain why it cannot apply other funding resources to cover the ANA portion of funding.

The non-federal budget share should identify the source and be supported by letters of commitment (see Definitions). Letters of commitment are binding when they specifically state the nature, the amount, and conditions under which another agency or organization will support a project funded with ANA funds. These resources may be human, natural, or financial, and may include other Federal and non-Federal resources. For example, a letter from another Federal agency or foundation pledging a commitment of \$200,000 in construction funding to complement proposed ANA funded pre-construction activity is

evidence of a firm funding commitment. Statements that additional funding will be sought from other specific sources are not considered a binding commitment of outside resources. Letters of Support merely express another organization's endorsement of a proposed project. Support letters are not binding commitment letters. They do not factually establish the authenticity of other resources and do not offer or bind specific resources to the project.

If an applicant plans to charge or otherwise seek credit for indirect costs in its ANA application, a current copy of its Indirect Cost Rate Agreement should be included in the application, with all cost broken down by category so ANA reviewers can be certain that no budgeted line items are included in the indirect cost pool. Applicants that do not submit a current Indirect Cost Rate Agreement, may not be able to claim the allowable cost, may have the grant award amount reduced, or result in a delay in grant award.

Applicants are encouraged to include sufficient funds for principal representatives, such as the applicant's chief financial officer or project director to travel to one ANA post-award grant training and technical assistance workshop. This expenditure is allowable for new grant recipients and optional for grantees that have had previous ANA grant awards, and will be negotiated upon award. Applicants may also include costs to travel to an ANA grantee conference.

For business development projects, the proposal should demonstrate that the expected return on the ANA funds used to develop the project will provide a reasonable operating

income and investment return within a specified time period. If a profit-making venture is being proposed, profits should be reinvested in the business in order to decrease or eliminate ANA's future participation. Such revenue should be reported as general program income. A decision will be made at the time of the grant award regarding appropriate use of program income. (See 45 CFR part 74 and part 92).

Cost Effectiveness: This criterion reflects ANA's concern with ensuring that the expenditure of its limited resources yields the greatest benefit possible in achieving the economic and social self-sufficiency for Native American communities. Applicants demonstrate this by: summarizing partnerships and the efficient use of leveraged resources; explaining the impact on the identified community through measurable project outcomes; and presenting a project that is completed, or self-sustaining or supported by other than ANA funds by the end of the project period.

Introduction and Project Summary/Project Abstract (5 Points) Using the ANA Project Abstract form, the applicant should provide a Project Introduction. The Introduction will provide the reader an overview and some details of the proposed project. This is where the project is introduced to the peer review panel. Identify the name of the applicant, location of the community to be served by the proposed project, the project activities, funding amount requested, amount of matching funds to be provided, the length of time required to accomplish the project, and the outcomes or outputs to be achieved. Using the Project Abstract, applicant will identify which ANA goal the project addresses: governance, social development, or economic development.

2. Review and Selection Process

Initial Screening: Each application submitted under this program announcement will undergo a pre-review screening to determine if (a) the application was received by the Program Announcement closing date; (b) the application was submitted in accordance with Section IV, “Application and Submission Information”; (c) the applicant is eligible for funding in accordance with Section III, “Eligibility Information” of this program announcement; (d) the applicant has submitted the proper support documentation such as proof of non-profit status, resolutions, and required government forms; (e) an authorized representative has signed the application; and (f) applicant has a DUNS number. An application that does not meet one of the above elements will be considered incomplete and excluded from the competitive review process. Applicants, with incomplete applications, will be notified by mail within 30 business days from the closing date of this program announcement. ANA staff cannot respond to requests for information regarding funding decisions prior to the official applicant notification. After the Commissioner has made decisions on all applications, unsuccessful applicants will be notified in writing within 90 days. Applicants are not ranked based on general financial need. Applicants, who are initially excluded from competition because of ineligibility, may appeal the decision. Applicants may also appeal an ANA decision that an applicant's proposed activities are ineligible for funding consideration. The appeals process is stated in the final rule published in the Federal Register on August 19, 1996 (61 FR 42817 and 45 CFR part 1336, subpart C).

Competitive Review Process: Applications that pass the initial screening process will be analyzed, evaluated and rated by an independent review panel on the basis of the evaluation criteria specified below. The evaluation criteria were designed to analyze and assess the quality of a proposed community-based project, the likelihood of its success, and the ability to monitor and evaluate community impact and long-term results. The evaluation criteria and analysis are closely related and are wholly considered in judging the overall quality of an application. Applications will be evaluated in accordance with the program announcement criteria and ANA's program areas of interest. A determination will be made as to whether the proposed project is an effective use of federal funds.

Application Review Criteria: ANA has expanded the review criteria to allow for a more equitable distribution of points during the application review and competition process. The use of these six criteria distributes the number of points more equitably. Based on the ACF Uniform Project Description, ANA's criteria categories are Project Introduction; Objectives and Need for Assistance; Project Approach; Organizational Capacity; Results and Benefits Expected; and Budget and Budget Narrative.

As non-Federal reviewers will be used, applicants have the option of omitting from the application copies (not original) specific salary rates or amounts for individuals specified in the application budget and Social Security Numbers, if otherwise required for individuals. The copies may include summary salary information.

Application Consideration: The Commissioner's funding decision is based on an analysis of the application by the review panel, the panel review scores, recommendations of the ANA staff, comments of State and Federal agencies having contract and grant performance related information, and other interested parties. The Commissioner makes grant awards consistent with the purpose of the Native American Programs Act (NAPA), all relevant statutory and regulatory requirements, this program announcement, and the availability of appropriated funds. The Commissioner reserves the right to award more, or less, than the funds described or under such circumstances as may be deemed to be in the best interest of the federal government. Applicants may be required to reduce the scope of projects based on the amount of approved award.

VI. Award Administration Information

1. Award Notice

Approximately 120 days after the application due date, the successful applicants will be notified by mail through the issuance of a Financial Assistance Award document which will set forth the amount of funds granted, the terms and conditions of the grant, the effective date of the grant, the budget period for which initial support will be given, the non-Federal share to be provided and the total project period for which support is contemplated. The Financial Assistance Award will be signed by the Grants Officer and sent to the applicants Authorizing Official.

Organizations whose applications will not be funded will be notified in writing.

2. Administrative and National Policy Requirements

45 CFR Part 74 and 45 CFR Part 92 and 45 CFR part 1336, subpart C) and 42 U.S.C. Section 2991 et seq.- Native American Programs Act of 1974.

Paperwork Reduction Act of 1995 (Pub.L. 104-13): Public reporting burden for this collection of information is estimated to average 120 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed and reviewing the collection information. The project description is approved under OMB control number 0970-0139 which expires 3/31/04. The Survey on Ensuring Equal Opportunity for Applicants form is approved under OMB control number 1890-0014 which expires 1/31/06.

3. Reporting Requirements

Programmatic Reports: Quarterly

Financial Reports: Quarterly

Special Reporting Requirements: An original and two copies of each performance report and financial status report must be submitted to the Grants Officer. Failure to submit these reports when required will mean the grantee is non-compliant with the terms and conditions of the grant award and subject to administrative action or termination. Performance reports are submitted 30 days after each quarter (3-month intervals) of the budget period. The final performance report, due 90 days after the project period end

date, shall cover grantee performance during the entire project period. All grantees shall use the SF 269 (Long Form) to report the status of funds. Grantees shall submit quarterly Financial Status Reports that shall be due 30 days after each quarter (3-month intervals) of each budget period. The final report shall be due 90 days after the end of the project period.

VII. Agency Contacts

Program Office Contact:

ANA Applicant Help Desk

370 L'Enfant Promenade, SW.

Aerospace Building 8th Floor-West,

Washington, DC 20447-0002.

Telephone: 202-690-7776 or toll-free at 1-877-922-9262

Email ana@acf.hhs.gov

Grants Management Office Contact:

Lois B. Hodge

370 L'Enfant Promenade, SW.

Aerospace Building 8th Floor-West,

Washington, DC 20447-0002.

Telephone: (202) 401-2344

Email: Lhodge@acf.dhhs.gov

VIII. Other Information

Training and Technical Assistance: All potential ANA applicants are eligible to receive free T&TA in the SEDS, Language, or Environmental program areas. Prospective applicants should check ANA's web site for training and technical assistance dates and locations, or contact the ANA Applicant Help Desk at 1-877-922-9262. Due to the new application and program additions and modifications, ANA strongly encourages all prospective applicants to participate in free pre-application training.